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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re. Appln.: Bernd Borchert  
Serial No.: 09/944,823  
Filed: August 31, 2001  
For: SEMICONDUCTOR LASER CHIP AND METHOD FOR  
FABRICATING A SEMICONDUCTOR LASER CHIP  
Attorney Docket No.: 32226.12  
Attorney: Jeffrey R. Stone  
Additional Fees: Charge to Deposit Account No. 023732

Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL OF INFORMATION DISCLOSURE  
STATEMENT BEFORE MAILING DATE OF A FIRST OFFICE ACTION**

Applicant submits herewith the references listed on the attached Information  
Disclosure Statement by Applicant.

This Information Disclosure Statement is being filed before the mailing date of a first  
Office Action on the merits.

Respectfully submitted,

Dated: 12/18/02

By [Signature]  
Jeffrey R. Stone (Reg. No. 47,976)  
BRIGGS AND MORGAN  
2400 IDS Center  
80 South Eighth Street  
Minneapolis, MN 55402  
Telephone: (612) 334-8560

**CERTIFICATE OF MAILING**

I hereby certify that this document is being deposited with the United States Postal Service as First Class Mail,  
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indicated below.

By Katy Sathre  
Date Dec. 18, 2002



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Attorney Docket No.: 32226.12  
Attorney: Jeffrey R. Stone  
Additional Fees: Charge to Deposit Account No. 023732

**TRANSMITTAL COVER LETTER**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed for filing are the following:

1. Transmittal of Information Disclosure Statement Before Mailing Date of a First Office Action;
2. Information Disclosure Statement by Applicant with four (4) cited references; and
3. Postcard Receipt.

Respectfully submitted,

Dated: 12/18, 2002

By [Signature]  
Jeffrey R. Stone (Reg. No. 47,976)  
BRIGGS AND MORGAN  
2400 IDS Center  
80 South Eighth Street  
Minneapolis, MN 55402  
Telephone: (612) 334-8560

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By Kathy Sathre  
Date DEC. 18, 2002

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

### Complete if Known

Application Number	09/944823
Filing Date	August 31, 2001
First Named Inventor	Borchert, Bernd
Group Art Unit	
Examiner Name	
Attorney Docket Number	32226.12

### U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
DAZ		US-60 64 527 A	May 16, 2000	Lucent Technologies, Inc.	
		US-			
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### FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
DAZ		DE 24 36 908 A1	02-20-1975	Nippon Selfoc Co.		
DAZ		EP 10 35 423 A2	09-13-2000	Samsung Electronics Co., Ltd.		
DAZ		JP 2-199882 A	08-08-1990	NEC Corp.		

Examiner  
Signature

Delma R. Flores-Ruz

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Considered

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 2

### Complete if Known

Application Number	09/944823
Filing Date	August 31, 2001
First Named Inventor	Borchert, Bernd
Group Art Unit	
Examiner Name	
Attorney Docket Number	32226.12

### OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>

Examiner  
Signature

Delmar R. Plunk

Date  
Considered

11/03

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